

Annual TRAC return reporting for AY 2010-11

IN CONFIDENCE

To be returned no later than 31st January 2012. Earlier submissions welcome.

This worksheet has passed all validation checks

Institutional results
Institution:
Code:
UKPRN:
TRAC Peer Group:

Data collected for use by the Funding Councils

	£000
Total income* (per audited financial statements for 2010-11)	0
Total expenditure* (per audited financial statements for 2010-11)	0
Operating surplus/(deficit) per audited financial statements	0
Infrastructure adjustment	0
Short-run operating surplus/(deficit) per TRAC	0
Return for financing and investment adjustment	0
Long-run sustainable surplus/(deficit) - full economic costs per TRAC	0

* The income and expenditure lines as reported in the financial statements should be adjusted, where appropriate, in line with section B.1.7 of the Statement of Requirements (version 4.1 September 2011) in respect of joint ventures, minority interests and endowments.

Notes:
 1. Exceptional items (as defined by FRS 3 - i.e. those items appearing after the operating surplus/(deficit)) should not be included in the total income or total costs lines above.
 2. Please ensure that the net RFI adjustment on expenditure is calculated in accordance with the guidance provided at section B.2.6 of the Statement of Requirements (version 4.1 September 2011) and Update 6 <http://www.icpsg.ac.uk/guidance/revisions/>

Please enter exceptional items in this line. 0

Is your institution eligible for and applying dispensation from 1 April 2012? Please select Yes/No from the drop-down box

(Eligibility is defined as institutions with less than £500,000 annual research income from public sources. A rolling average of Research income (over five years) is used to assess whether £500,000 has been reached or not. More information on dispensation can be found in section A.4 of the Statement of Requirements: <http://www.icpsg.ac.uk/guidance/require/>.)

Analysis of TRAC results

(A) TRAC income and costs by activity
Institution:
Code:
UKPRN:
TRAC Peer Group:

Data collected for use by the Funding Councils

	Teaching				Research	Other	Total
	Publicly funded - regulated provision	Publicly funded - non regulated provision	Total publicly funded	Non-publicly funded			
	£000	£000	£000	£000			
Income	0	0	0	0	0	0	0
TRAC full economic costs	0	0	0	0	0	0	0
Surplus/(deficit)	0	0	0	0	0	0	0
Surplus/(deficit) as % of costs	0.0	0.0	0.0	0.0	0.0	0.0	0.0

Note: Income allocation guidance is contained in Annex 16 of the TRAC guidance and can be found here: <http://www.icpsg.ac.uk/guidance/annexes.htm>

(B) Teaching and Research income by source
Institution:
Code:
UKPRN:
TRAC Peer Group:

Data collected for use by the Funding Councils

	Total publicly funded Teaching	Total Research (NPFR+PFR)
	£000	£000
Public sources	0	0
Non-public sources	0	0
Total income	0	0

Note: Total Research covers both NPFR and PFR

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(C) Research income and costs by research sponsor type

Institution:

Code:

UKPRN:

TRAC Peer Group:

Data collected for use by the Funding Councils and RCUK

	Recurrent research funding from the funding councils £000	Institution- own funded £000	Postgraduate research £000	Research Councils £000	Other govt departments £000	European Union* £000	UK-based Charities £000	Industry** £000	Total Research £000
Income	0	0	0	0	0	0	0	0	0
TRAC full economic costs		0	0	0	0	0	0	0	0
Surplus/(deficit)		0	0	0	0	0	0	0	0
Surplus/(deficit) as % costs		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0

Is your allocation of academic staff time to research sponsor types robust? Please select Yes/No from the drop-down box.

(Whilst it is not a TRAC requirement for 2010-11 to hold robust data at this level [see Section B.4 of the Statement of Requirements version 4.1 September 2011], some institutions do have robust data at this level already. A lack of robustness may arise whilst you are amending your processes in readiness for the compliance deadline of 2013-14, because the sampling process was not designed for robustness at that level, or proxies are being used to allocate costs between research sponsor types, or for other reasons.)

* European Union now covers EU government bodies including the Commission. This is the same as that defined under 3(e) in Table 6b of the HESA Finance Statistics Return.

** Industry should include all other organisations such as UK industry, commerce and public corporations, EU non-government organisations (i.e. EU-based charities, EU industry and EU other), Overseas charities, Overseas industry and Other sources.

For further details of definitions please see B.1.5 and B.7.2a of the Statement of Requirements (v 4.1 September 2011).

Note: HEIs have one more year in which to implement the changed EU definitions fully (i.e. it should be fully in place in the return covering 2011-12 data reported in January 2013).

Declaration by head of institution

I confirm that the costs, income and charge-out rate information reported in the attached return have been prepared in accordance with the TRAC requirements as set out in the Statement of Requirements (version 4.1 September 2011) <http://www.icpsq.ac.uk/guidance/require/>

I confirm that a full self-assessment of compliance against each point listed in the Statement of Requirements (version 4.1 September 2011) has been carried out in the last three years. I also confirm that a Board Committee has specifically reviewed the results of the tests for reasonableness and has either confirmed compliance or has drawn up an action plan for any areas where the institution is not fully compliant. I confirm that the Board Committee has lay membership as per Update 6 (paragraph 2.13).

Name of Board committee which confirmed compliance with the TRAC requirements.	Date of meeting at which compliance was confirmed (Please enter in the format of dd/mm/yyyy)

If the Board Committee is meeting after the date of this return, please also state in the box below who provided the confirmation for this return, and the date (e.g. Chairman's Action, or management committee). Please note that responsibility still lies with the Board Committee for this confirmation.

Name of person/committee who provided confirmation for this return.	Date of confirmation (Please enter in the format of dd/mm/yyyy)

Signed: (Head of institution) _____

Name: _____

Title: _____

Date: _____

To be returned no later than 31st January 2012

Please scan the signed hard copy and upload electronically to the funding councils via the HEFCE extranet. The funding councils no longer require a paper copy.

This worksheet has passed all validation checks

(D) Calculation of indirect and estates cost charge-out rates for Research
 Institution:
 Code:
 UKPRN:
 TRAC Peer Group:

Data collected for use by the RCUK and for benchmarking
 Please complete this section

Please select box (shown on the right) if you do not calculate an estates laboratory rate or an estates non-laboratory rate

	Indirect	Estates non-laboratory	Estates laboratory
Cost per TRAC allocated to research	0	0	0
Academic staff FTEs (i)	0.0	0.0	0.0
% research time of academic staff (Please enter as a % out of 100) (ii)	0.0	0.0	0.0
Resulting in direct time of academic staff (i) * (ii)	0.0	0.0	0.0
Research assistants and fellows FTEs	0.0	0.0	0.0
PGRs FTEs	0.0	0.0	0.0
weighted by	0.2	0.5	0.8
weighted FTEs	0.0	0.0	0.0
Total FTEs	0.0	0.0	0.0
Rate (£)	0	0	0
Indexation (two years) %	0.0	0.0	0.0
Indexed year 1 rate (£)	0	0	0

Note:
 The lab estates should exclude all costs of laboratory technicians and major or small research facilities (which are reported under E.1 below). The non-laboratory estates costs should include relevant elements of these costs, unless you are charging them separately (when again they would then be reported under E.1)

Do you calculate and apply different indirect rates for each department? Please select Yes/No from the drop-down box
 If Yes please list the departments and the rates in table D(a) in the worksheet "RCUK_Departmental_rates"

Do you calculate and apply different estates rates for each department? Please select Yes/No from the drop-down box
 If Yes please list the departments and the rates in table D(a) in the worksheet "RCUK_Departmental_rates"

(E) Calculation of laboratory technician and research facility charge-out rates for Research
 Institution:
 Code:
 UKPRN:
 TRAC Peer Group:

Data collected for use by the RCUK and for benchmarking
 Please complete this section

In section E, it is not a TRAC requirement to identify laboratory technician costs in non-laboratory departments separately from estates costs. If you do identify laboratory technician costs separately, please respond using the drop-down box (this will provide you with cells to enter data in the tables below).

Please choose an option from the drop-down box to inform us if you have no lab technicians and/or no research facilities

	Research		Total £000
	Non-laboratory ¹ £000	Laboratory £000	
E.1 Total costs allocated to Research			
1. Major research facilities and small research facilities ²	0	0	0
2. Laboratory technicians			
a. DI ³		0	0
b. Pool		0	0
c. Infrastructure		0	0
Total		0	0
Total costs	0	0	0

Note:
¹ Many institutions will not have identified these costs separately from estates costs in non-laboratory research disciplines. It is not a TRAC requirement.
² Major research facilities and small research facilities should include all costs included in the calculations of the charge-out rates for MRFs and SRFs, whether charged as DI or DA.
³ Please enter the costs of all DI technicians allocated to research irrespective of whether their salary was allocated wholly to DI, or partly to Support and partly to DI.

Please describe the rates that you calculate and apply on small research facilities and major research facilities on table E(a) in the worksheet Departmental rates

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E.2 Analysis of total estates costs allocated to Research (this table will automatically be completed with information from sections D and E.1.)	Non-	Laboratory	Total
	laboratory ¹	£000	£000
1. Estates costs included in the estates cost rate calculation	0	0	0
2. Gross estates costs (i.e. estates plus all technicians and all research facilities.)	0	0	0
3. % of gross estates costs			
a. Major research facilities and small research facilities	0.0	0.0	0.0
b. Laboratory technicians			
i. DI		0.0	0.0
ii. Pool		0.0	0.0
iii. Infrastructure		0.0	0.0
Total		0.0	0.0
Total	0.0	0.0	0.0

Note - It is assumed here, for benchmarking purposes only, that all research facility and laboratory technician costs were originally part of a gross estates cost (even though in practice some of these costs would have been DI and not in the estates cost total at all and some of these costs may have been in indirect costs). The gross estates cost is calculated for you on row E.2.2. No research facility or laboratory technician cost (whether DI or DA) are in the estates cost total that is used for the estates cost rate calculation - row E.2.1.

E.3 Calculation of laboratory technician infrastructure rate	Non-	Laboratory	Total
	laboratory ¹	£000	£000
Total laboratory technician infrastructure costs (£000)		0	0
Academic/researcher/PGR FTEs		0.0	0.0
Laboratory technician infrastructure rate per FTE (£)		0	0
Indexation (Two years) %		0.0	0.0
Indexed year 1 rate (£)		0	0

Do you calculate and apply laboratory technician infrastructure rates separately for each department?

If Yes please list the departments and the rates in table D(a) in the worksheet "RCUK_Departmental_rates"

(F) Analysis

Institution:
Code:
UKPRN:
TRAC Peer Group:

Data collected for use by the RCUK
Please complete this section

F.1 Analysis of Support costs
Estates costs and indirect costs

	Teaching £000	Research £000	Other - academic department activities £000	Other - standalone enterprise activities such as residences, catering and (most) trading companies ¹ £000	Total £000
Estates costs (excluding research facilities and lab technicians)	0	0	0	0	0
Indirect costs					
Support time of academic staff	0	0	0	0	0
Central services	0	0	0	0	0
Support staff in academic departments	0	0	0	0	0
Non-staff costs in academic departments	0	0	0	0	0
Return for Financing and Investment	0	0	0	0	0
Total indirect costs	0	0	0	0	0
Total Estates and Indirect costs	0	0	0	0	0

¹ Please refer to TRAC Update 6 September 2011.

F.2 Analysis of staff time

Number of academic and research staff in the year (FTEs)

Academic staff covered by Time Allocation Survey ²	0.0
Research assistants & fellows (wholly charged to R)	0.0
Other academic staff (wholly charged to T or O)	0.0
Total academic and research staff FTEs	0.0

² Academic staff covered by the time allocation survey reported in the table above should be the total number of academic staff who are covered by the current AST percentages, irrespective of whether they provided time estimates this year or in either of the two prior years, or whether they were actually part of the sample selected to provide data or not.

Academic staff covered by TAS surveys for the whole institution

	Teaching	Research	Other	Support	Total
% time unweighted for salaries ³	0.0	0.0	0.0	0.0	0.0
% time weighted for salaries	0.0	0.0	0.0	0.0	0.0
Academic staff costs (£000s)	0	0	0	0	0

³ See section 2.7 of the TRAC Update 6 September 2011 for further detail.

This table shows the institutional total of the department percentages that have been used to allocate academic staff costs.

Support for Teaching, Support for Research, Support for Other should all be shown under Support.

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The 2008-09 and 2009-10 data columns are prefilled using data from the annual TRAC returns submitted in January 2010 and January 2011 respectively. The 2010-11 column will be automatically completed as the data in the other sheets of this workbook are completed. Please review the summary analysis after completion of the workbook and prior to submission as part of your reasonableness checks.

In addition to the data in this summary sheet, you are reminded that benchmarking analysis comparing your 2008-09 and 2009-10 data to that of other TRAC peer groups and the UK sector is available to download from the HEFCE extranet. Benchmarking of 2010-11 data will be made available by April 2012.

Institutional section

	2008-09	2009-10	2010-11	Percentage difference between 2008-09 and 2009-10	Percentage difference between 2009-10 and 2010-11
Total expenditure			0	0.0	0.0
Infrastructure adjustment			0	0.0	0.0
RFI adjustment*			0	0.0	0.0
Total adjustments			0	0.0	0.0
Total costs (full economic costs per TRAC)			0	0.0	0.0
As a % of total expenditure					
Infrastructure adjustment	0.0	0.0	0.0		
RFI adjustment	0.0	0.0	0.0		
Total adjustments	0.0	0.0	0.0		

* New guidance regarding the RFI adjustment has been introduced in 2010-11. Please see section B2.6 of the Statement of Requirements (v 4.1 September 2011) and Update 6 (<http://www.jcpsg.ac.uk/guidance/revisions/>)

TRAC income and costs by activity

Source: Section A

	2008-09	2009-10	2010-11	Percentage difference between 2008-09 and 2009-10	Percentage difference between 2009-10 and 2010-11
Surplus/(deficit) (£000)					
Publicly funded Teaching (regulated) provision			0	0.0	0.0
Publicly funded Teaching (non-regulated) provision			0	0.0	0.0
Total publicly funded Teaching			0	0.0	0.0
Non-publicly funded Teaching			0	0.0	0.0
Research			0	0.0	0.0
Other			0	0.0	0.0
Total			0	0.0	0.0
Surplus/(deficit) as a % of cost					
Publicly funded Teaching (regulated) provision			0.0		
Publicly funded Teaching (non-regulated) provision			0.0		
Total publicly funded Teaching			0.0		
Non-publicly funded Teaching			0.0		
Research			0.0		
Other			0.0		
Total			0.0		

Research income and costs by research sponsor type

Source: Section C

	2008-09	2009-10	2010-11	Percentage difference between 2008-09 and 2009-10	Percentage difference between 2009-10 and 2009-10
Surplus/(deficit) as a % of cost					
Recurrent research funding from the funding councils					
Institution-own funded research			0.0		
Postgraduate research			0.0		
Research councils			0.0		
Other government departments			0.0		
European union *			0.0		
UK charities			0.0		
Industry **			0.0		
Total research			0.0		

2008-09 data for Institution-own funded research is not shown because comparisons to prior years would not be valid. The heading "Recurrent research funding from the funding councils" was introduced in 2009-10.

* European Union now covers EU government bodies including the Commission. This is the same as that defined under 3(e) in Table 6b of the HESA Finance Statistics Return.

** Industry should include all other organisations such as UK industry, commerce and public corporations, EU non-government organisations (i.e. EU-based charities, EU industry and EU other), Overseas charities, Overseas industry and Other sources.

For further details of definitions please see B.1.5 and B.7.2a of the Statement of Requirements (v 4.1 September 2011).

Analysis of support costs, indirect costs and estates costs

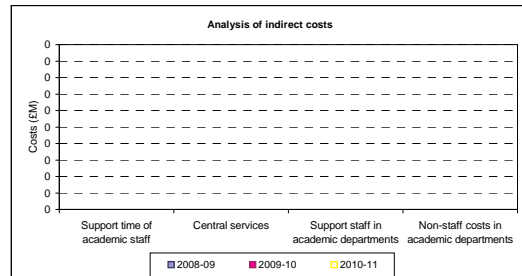
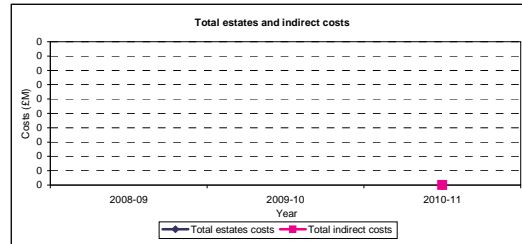
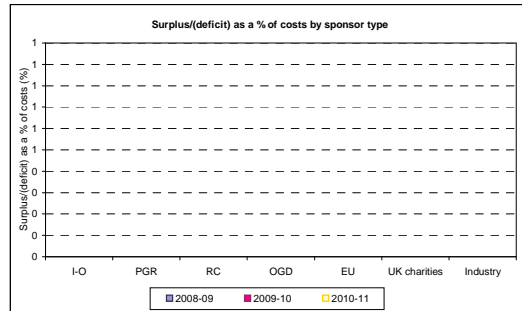
Source: Section F

	2008-09	2009-10	2010-11	Percentage difference between 2008-09 and 2009-10	Percentage difference between 2009-10 and 2010-11
Total estates costs			0	0.0	0.0
% of estates costs allocated to research			0.0		
Total indirect costs			0	0.0	0.0
% of indirect costs allocated to research			0.0		
Total indirect costs excl RFI adjustment			0	0.0	0.0
% of indirect costs (excl RFI adjustment) allocated to research			0.0		

	2008-09	2009-10	2010-11	Percentage difference between 2008-09 and 2009-10	Percentage difference between 2009-10 and 2010-11
Analysis of indirect costs					
Support time of academic staff			0	0.0	0.0
Central services			0	0.0	0.0
Support staff in academic departments			0	0.0	0.0
Non-staff costs in academic departments			0	0.0	0.0
Return for Financing and Investment*			0	0.0	0.0
Total indirect costs	0	0	0	0.0	0.0

* New guidance regarding the RFI adjustment has been introduced in 2010-11. Please see section B2.6 of the Statement of Requirements (v 4.1 September 2011) and Update 6 (<http://www.jcpsg.ac.uk/guidance/revisions/>)

I-O=Institution-own funded research
PGR=Postgraduate research
OGD=Other Government Departments
RC= Research Councils
EU=European Union



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11. The question on robustness of the allocation of academic staff time to research sponsor types should be completed.

Validation passed

Section D

12. If you have identified that you do not calculate an estates laboratory rate or an estates non-laboratory rate in the drop-down box in section D, then the relevant columns should be left blank.

Validation passed

13. Academic staff numbers allocated to estates should be equal to or within 10% of those allocated to indirect costs.

Validation passed

14. The % research time of academic staff (any column in row ii) would usually be less than 50%.

Validation passed

15. The % research time of academic staff in the indirect column should not be greater than both of the % research time returned in the two estates columns or less than both of the % research time returned in the two estates columns.

Validation passed

16. Direct time of academic staff in estates should be equal to or within 10% of those allocated to indirect costs.

Validation passed

17. If academic staff numbers (estates) equals indirect staff numbers (row (i)), then the direct time of academic staff (indirect) should equal the direct time of academic staff in the estates columns (row (iii)).

Validation passed

18. Research assistant/fellows numbers allocated to estates should be equal to or within 10% of those allocated to indirect costs.

Validation passed

19. PGR student numbers allocated to estates should be equal to or within 10% of those allocated to indirect costs.

Validation passed

20. Indexation should not be negative or 0 and would usually be less than 10%.

Validation passed

Section E

21. If you do not identify laboratory technician costs in non-laboratory departments, (i.e. you have left the first drop-down box at the top of section E blank) then the relevant column in all of section E should be left blank.

Validation passed

22. Please ensure you have recorded whether you have lab technicians and/or research facilities consistently in table E.1. and the second drop-down box at the top of section E.

Validation passed

23. Institutions recording laboratory estates costs in section D should identify some laboratory costs in table E.1.

Validation passed

24. Laboratory technician infrastructure rate per FTE (£) in table E.3 should be completed and would usually be less than £8,000.

Validation passed

25. Academic/researcher/PGR FTEs in table E.3 should be equal to the total FTEs in section D (for both laboratory and non-laboratory columns).

Validation passed

26. Research intensive institutions (those in TRAC peer groups A or B) would usually report laboratory technician infrastructure rates in table E.3.

Validation passed

27. Research intensive institutions (those in TRAC peer groups A or B) would usually report research facilities in table E.1.

Validation passed

28. If you calculate a laboratory technician infrastructure rate, please enter an indexed rate i.e. indexation should not be negative or 0 and would usually be less than 10%.

Validation passed

Section F

29. Research Indirect costs in table F.1 should equal those recorded in the first line of section D

Validation passed

30. Research estates costs in table F.1 should equal those recorded in the first line of section D.

Validation passed

31. Total support time for academic staff from table F.1 should be equal to the academic staff costs for support reported in table F.2.

Validation passed

32. Academic staff FTEs allocated to indirect costs in section D should be within 10% of Academic staff covered by Time Allocation Survey in table F.2

Validation passed

33. Research assistants and fellows in table F.2 should equal those in section D.

Validation passed

34. Percentage time unweighted for salaries for research in table F.2 should be equal to the percentage research time for academic staff recorded in section D.

Validation passed

35. Percentage time weighted for salaries should be completed in table F.2.

Validation passed

36. The total % time of academic staff (both weighted and unweighted for salaries) in table F.2 should equal 100%

Validation passed

37. Please check that costs in table F.1 have been correctly split between 'Other - academic department activities' and 'Other - standalone enterprise activities such as residences, catering and (most) trading companies'

Validation passed

Post submission Validation Section (England and Northern Ireland only)

Data will be subject to some additional validation checks on submitting the data to HEFCE. The results of these will appear below in the results package.

If, for any reason, you get any validation failures/warnings, you should review your figures and/or the response in checklist question 7, to ensure they have been completed correctly. If this is a data error then please correct your figures in the annual TRAC return and resubmit your workbook to HEFCE.

38. Total income reported in the Annual TRAC return (institutional results section) should be consistent with data in table 1 of the Financial Tables returned in December 2011*.

39. Total expenditure reported in the Annual TRAC return (institutional results section) should be consistent with data in table 1 of the Financial Tables returned in December 2011*.

* The income and expenditure lines as reported in the financial statements should be adjusted, where appropriate, in line with section B.1.7 of the Statement of Requirements (v 4.1 September 2011) in respect of joint ventures, minority interests and endowments. For further information on how the post validation checks are calculated, please see the "Instructions" document included in the package you have downloaded from the HEFCE extranet.